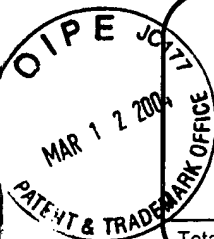


#5

3-19-04



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/970,768
	Filing Date	October 5, 2001
	First Named Inventor	Dr. Alfred Keng Tiong Tan
	Art Unit	2661
	Examiner Name	MAR 15 2004
Total Number of Pages in This Submission	Attorney Docket Number	19441.0010

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## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>PTO Form 1449 and 36 references</b>
Remarks		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Robert C. Bertin, Reg. No. 41,488 Swidler Berlin Shereff Friedman, LLP 3000 K Street, Suite 300 Washington, DC 20007
Signature	
Date	March 12, 2004

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Alfred Keng Tiong Tan

Application No. 09/970,768

Filed: October 5, 2001

For: METHOD AND APPARATUS FOR NON-LINEAR CODE-DIVISION MULTIPLE ACCESS TECHNOLOGY

Art Unit: 2631

Examiner:

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MAR 15 2004

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INFORMATION DISCLOSURE STATEMENT

Box IDS  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

For insuring compliance with the applicant's duty of disclosure under 37 CFR § 1.56, the undersigned hereby submits the documents listed on the attached Form PTO-1449 for consideration by the Examiner in charge of the above-identified patent application.

☐ U.S. patent applications which the applicant considers to be related to the above-identified application are as follows:

☐ A concise explanation of the relevance of the non-English language references is attached:

☐ The relevance of the references is indicated on the enclosed copy of the Search Report for the priority application.

These documents are being submitted (check only one of the next four boxes):

- ☐ within three months of the filing of the above U.S. national application or of the date of entry of the U.S. national stage in an International Patent Application (no fee is due);
- ☒ before receiving a first Office Action on the merits of the above-identified patent application; or before receiving a first Office Action after filing of a Request for Continued Examination (no fee is due);
- ☐ following receipt of a first Office Action, but before issuance of a Final Office Action or a Notice of Allowance (if this box is checked, one of the last three boxes also must be checked);

OR

- ☐ following receipt of a Notice of Allowance or a Final Office Action (if this box is checked, the next box and one of the last two boxes also must be checked).
- ☐ The Commissioner is hereby authorized to charge Deposit Account 19-5127, in the amount of \$180.00 for payment of the fee set forth in 37 CFR § 1.17(p).
- ☐ The undersigned certifies that each item of this information is being submitted within three months of the date it was cited by a foreign patent office in a counterpart application.
- ☐ The undersigned certifies that, after making reasonable inquiry, he/she has no knowledge that any item of this information was cited by a foreign patent office in a counterpart application or was known more than three months prior to this submission.

The Commissioner is hereby authorized to charge payment of any deficiency in the above fee(s) or to charge any additional fees required under 37 CFR § 1.16 or 1.17 or credit any overpayment to Deposit Account No. 19-5127, referencing 19441.0010.

Respectfully submitted,

Date: March 12, 2004



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Washington, D.C. 20007-5116  
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Facsimile: 202 295-8478

## FORM PTO-1449

Attorney Docket:

19441.0010

Application No.:

09/970,768

**INFORMATION DISCLOSURE CITATION**

Applicant:

Dr. Alfred Keng Tiong Tan

Examiner:

Filing Date:

October 5, 2001

Group Art Unit:

2661

**U.S. PATENT DOCUMENTS**

Examiner Initial	Ref. No	Document Number	Date	Name	Class	Sub-Class	Filing Date
		Re.35,402	Dec. 1996	Schilling			
		5,345,472	Sep. 1994	Lee			
		5,390,167	Feb. 1995	Inatsu et al.			
		5,410,568	Apr. 1995	Schilling			
		5,446,757	Aug. 1995	Chang			
		5,604,730	Feb. 1997	Tiedemann, Jr.			
		5,712,871	Jan. 1998	Chang			
		5,715,236	Feb. 1998	Gilhousen et al.			
		5,825,807	Oct. 1998	Kumar			
		5,905,721	May 1999	Liu et al.			
		5,926,500	July 1999	Odenwalder			
		5,930,230	July 1999	Odenwalder et al.			
		5,987,076	Nov. 1999	Zehavi et al.			
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		6,025,944	Feb. 2000	Mendez et al.			
		6,044,486	Mar 2000	Underseth et al.			
		6,064,663	May 2000	Honkasalo et al.			
		6,078,576	June 2000	Schilling et al.			
		6,091,760	July 2000	Giallorenzi et al.			
		6,097,711	Aug. 2000	Okawa et al.			

**FOREIGN PATENT DOCUMENTS**

	Document Number	Date	Country	Class	Sub-Class	Translation Yes/No
	WO9702663	23 Jan 1997				
	WO9852365	19 Nov 1998				
	JP63164533	July 1988	Japan			
	JP62217742	25 Sep 1987	Japan			
	JP5767349	23 April 1982	Japan			
	JP6268631	22 Sep 1994	Japan			
	JP10229380	25 Aug 1998	Japan			
	JP2202137	10 Aug 1990	Japan			
	JP2272929	7 Nov 1990	Japan			
	JP6216879	5 Aug 1994	Japan			

**OTHER DOCUMENTS (Including Author, Title, Date, etc.)**

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**FORM PTO-1449**

**INFORMATION DISCLOSURE CITATION**

Attorney Docket:

19441.0010

Serial No.:

09/970,768

Applicant:

Alfred Keng Tiong Tan

Examiner:

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Filing Date:

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Group Art Unit:

2661



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Examiner		Date Considered	
<p>Examiner: Initial if reference consider, whether or not citation is in conformance with MPEP §609.          Draw line through citation if not in conformance and not considered.          Include copy of this form with next communication to Application</p>			